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Sheet 1 of 1

Form 1449 (Modified)
Information Disclosure
Statement By Applicant

Serial No.: 09/895,605
Applicant: Stefek et al.
Filing Date: June 29, 2001
Examiner: Booker, Kelvin E.
Art Unit: 2121
Atty. Docket No.: BARR0005

U.S. Patent Documents

| Examiner Initial | No. | Patent No. | Date | Patentee | Class | Sub-class | Filing Date |
|------------------|-----|------------|------|----------|-------|-----------|-------------|
| | | | | | | | |

Foreign Patent or Published Foreign Patent Application

| Examiner Initial | No. | Document No. | Publication Date | Country or Patent Office | Class | Sub-class | Translation | |
|------------------|-----|--------------|------------------|--------------------------|-------|-----------|-------------|----|
| | | | | | | | Yes | No |
| | | | | | | | | |

Other Documents

| | | |
|------------------|-----|--|
| Examiner Initial | No. | Author, Title, Date, Place (e.g. Journal) of Publication |
| <i>KB</i> | A | Baca, Sean P., Barge, Brian L., and Weiss, Richard A.; <u>The Rise of Sector Effects in Major Equity Markets</u> ; Association for Investment Management and Research 2000 |

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

KB Kelvin Booker

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